

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.  
15904/31153

In Re Application Of:  
Gregory W. Kasten

**COPY OF PAPERS  
ORIGINALLY FILED**

Serial No.  
10/081,438

Filing Date  
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Examiner  
To be assigned

Group Art Unit  
2161

Title:

SYSTEM AND METHOD OF RATING A FINANCIAL INVESTMENT

**RECEIVED**

Address to:  
Assistant Commissioner for Patents  
Washington, D.C. 20231

JUN 06 2002  
Technology Center 2100

**37 CFR 1.97(b)**

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

**37 CFR 1.97(c)**

2. ☐ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:

☐ the statement specified in 37 CFR 1.97(e);

OR

☐ the fee set forth in 37 CFR 1.17(p).

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**GROUP 3600**

